

Chapter 4

Entering a Formal Complaint

Chapter Overview

Introduction



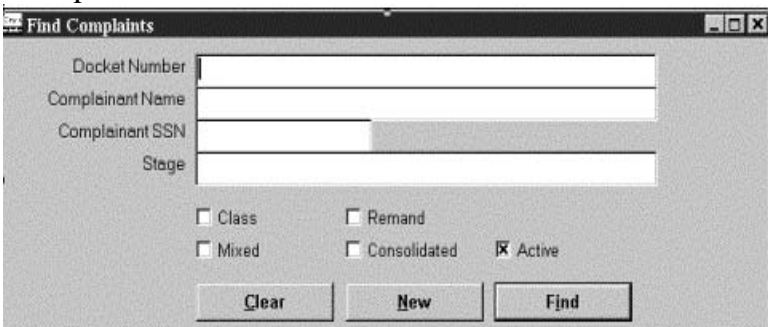

This chapter explains the process of querying a pre-complaint and changing the status to a formal complaint. For example, a pre-complaint record was previously initiated, and now the complainant wants to proceed to a formal complaint. It describes the contents of each of the alternate regions and taskflow buttons that store data throughout the process.

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Entering a Formal Complaint

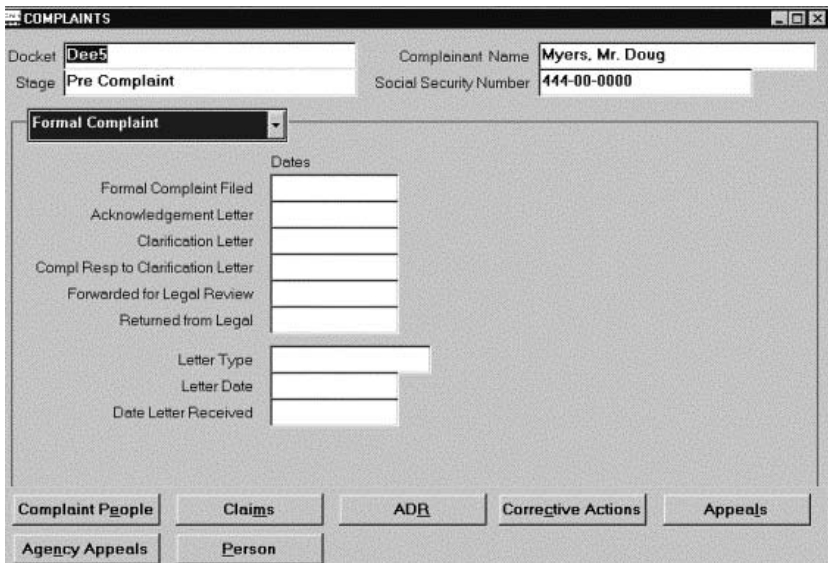
Accessing the Complaints Window

Step	Action
1	<p>On the Navigation List, click <i>Complaints Tracking</i> → <i>EEO Complaints Tracking</i> → <Open>. The Find Complaints Window displays to either query an existing complaint or enter a new complaint.</p> 
2	<p>To query an existing pre-complaint record;</p> <ul style="list-style-type: none"> • Enter data in one of the top three data fields; or • Enter more than one of the data fields and click <Find>. <p>Note:</p> <ul style="list-style-type: none"> • There may be more than one record for a complainant. If a complainant has multiple records, it will be indicated in the message bar at the bottom of the Complaints Window. <p>◆ Example:</p>  <ul style="list-style-type: none"> • Use the Up and Down Arrow Keys to scroll through the records to find the one you need. • You can view all your records by using the LOV in the Stage data field to make a selection. For example, if you select: <ul style="list-style-type: none"> • Pre-Complaint, all the Pre-Complaint records display. • Formal Complaint, all the Formal Complaint records display.
3	<p>On the Complaints Window, change the Stage data field by using the LOV and selecting Formal Complaint. Notice the rest of the Header remains the same.</p>

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Entering a Formal Complaint, Continued


Completing the Formal Complaint Alternate Region

Step	Action
1	<p>Select Formal Complaint from the drop-down menu to display the Formal Complaint Alternate Region data fields.</p>  <p>The screenshot shows the 'COMPLAINTS' application window. At the top, there are fields for 'Docket' (Dec5), 'Complainant Name' (Myers, Mr. Doug), 'Stage' (Pre Complaint), and 'Social Security Number' (444-00-0000). Below these is a drop-down menu currently set to 'Formal Complaint'. Under this menu, there are several data fields organized into two columns. The left column includes: 'Formal Complaint Filed', 'Acknowledgement Letter', 'Clarification Letter', 'Compl Resp to Clarification Letter', 'Forwarded for Legal Review', 'Returned from Legal', 'Letter Type', 'Letter Date', and 'Date Letter Received'. The right column, under the heading 'Dates', contains five empty text boxes corresponding to the first five items in the left column. At the bottom of the window, there are several buttons: 'Complaint People', 'Claims', 'ADR', 'Corrective Actions', 'Appeals', 'Agency Appeals', and 'Person'.</p>
2	Use the LOV to enter calendar dates in the data fields.
3	Save your work.
4	In the Formal Complaint Alternate Region, click the drop-down menu to select the next Alternate Region, e.g., the Investigation Alternate Region. The remaining Alternate Regions are explained as you work through this chapter.

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Entering a Formal Complaint, Continued

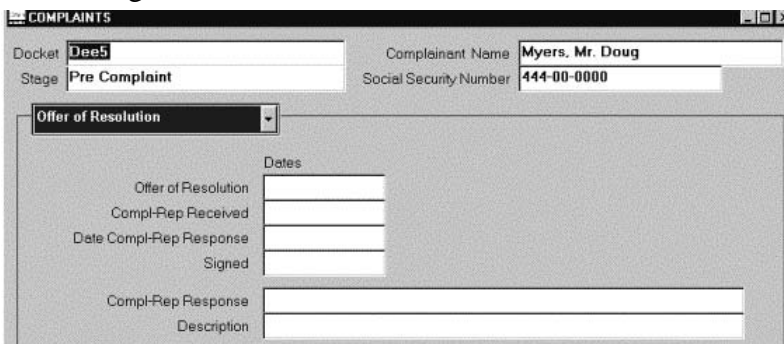
Investigation Alternate Region

Step	Action
1	<p>The Complaints Window displays the Investigation data fields.</p> 
2	Enter required information in the Investigation Source data field.
3	Enter calendar dates in the remaining region data fields by using the LOV or typing in the information.
4	In the Investigation Alternate Region, click the drop-down menu to select the next region, e.g., the Offer of Resolution Alternate Region.

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Entering a Formal Complaint, Continued

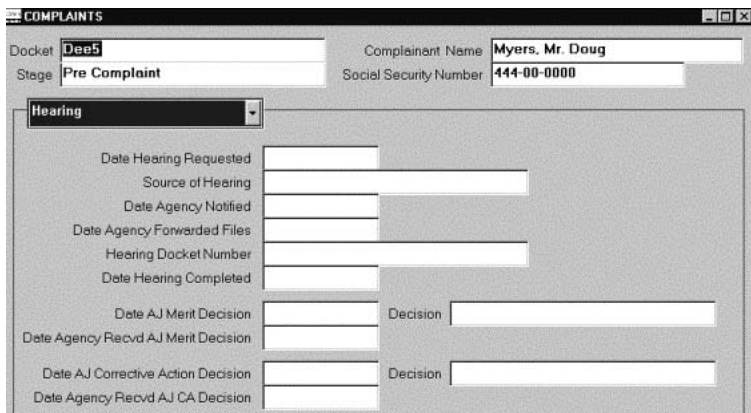
Offer of Resolution Alternate Region

Step	Action
1	<p>The Complaints Window displays the Offer of Resolution Alternate Region data fields.</p>  <p>The screenshot shows a window titled 'COMPLAINTS'. It has fields for 'Docket' (Dee5), 'Stage' (Pre Complaint), 'Complainant Name' (Myers, Mr. Doug), and 'Social Security Number' (444-00-0000). Below these is a section titled 'Offer of Resolution' with a drop-down menu. Under this section, there are several data fields: 'Offer of Resolution' (with a 'Dates' label), 'Compl-Rep Received', 'Date Compl-Rep Response', 'Signed', 'Compl-Rep Response', and 'Description'.</p>
2	Use the LOV to enter dates in the data fields and enter information in the Compl-Rep Response and Description data fields.
3	In the Offer of Resolution Alternate Region, click the drop-down menu to select the next region, e.g., the Hearing Alternate Region.

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Entering a Formal Complaint, Continued

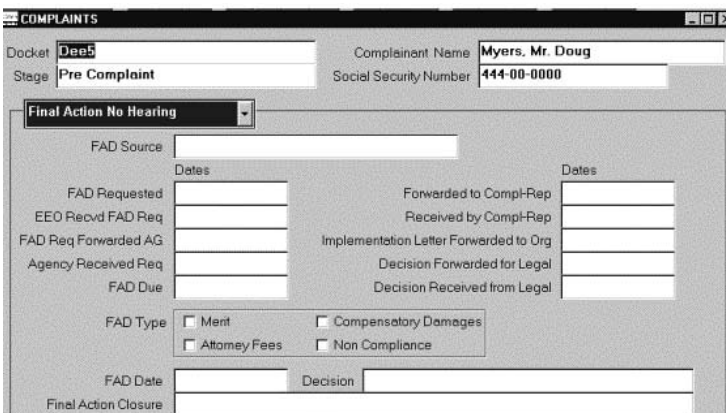
Hearing Alternate Region

Step	Action
1	<p>The Complaints Window displays with Hearing Alternate Region data fields.</p>  <p>The screenshot shows a window titled 'COMPLAINTS'. It has two tabs: 'Docket' and 'Stage'. The 'Docket' tab is active, showing 'Dec5' in the 'Docket' field and 'Pre Complaint' in the 'Stage' field. The 'Complainant Name' is 'Myers, Mr. Doug' and the 'Social Security Number' is '444-00-0000'. Below these is a dropdown menu set to 'Hearing'. Underneath is a list of data fields for the 'Hearing' region, each with a corresponding input field: 'Date Hearing Requested', 'Source of Hearing', 'Date Agency Notified', 'Date Agency Forwarded Files', 'Hearing Docket Number', 'Date Hearing Completed', 'Date AJ Merit Decision', 'Decision', 'Date Agency Recvd AJ Merit Decision', 'Date AJ Corrective Action Decision', 'Decision', and 'Date Agency Recvd AJ CA Decision'.</p>
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	In the Hearing Alternate Region, click the drop-down menu to select the next alternate region, e.g., the Final Action No Hearing Alternate Region.

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Entering a Formal Complaint, Continued

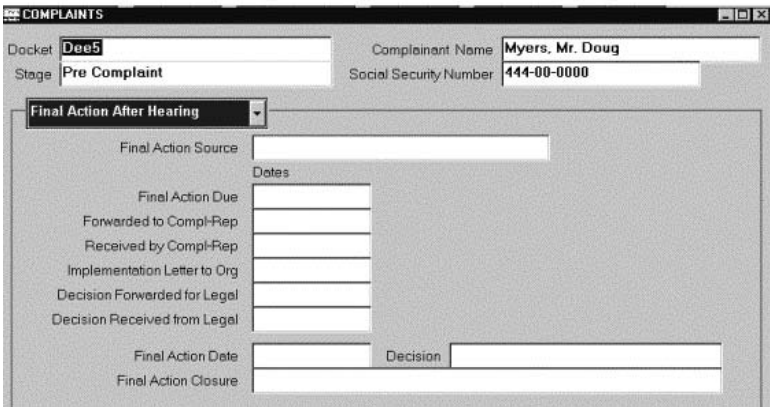
Final Action No Hearing Alternate Region

Step	Action
1	<p>The Complaints Window displays the Final Action No Hearing Alternate Region data fields.</p>  <p>The screenshot shows a window titled 'COMPLAINTS'. It has fields for 'Docket' (Dees), 'Stage' (Pre Complaint), 'Complainant Name' (Myers, Mr. Doug), and 'Social Security Number' (444-00-0000). Below these is a dropdown menu set to 'Final Action No Hearing'. The main area contains several input fields: 'FAD Source', 'FAD Requested', 'EEO Recvd FAD Req', 'FAD Req Forwarded AG', 'Agency Received Req', 'FAD Due', 'FAD Type' (with checkboxes for Merit, Compensatory Damages, Attorney Fees, and Non Compliance), 'FAD Date', 'Decision', and 'Final Action Closure'. There are also two columns of 'Dates' and a section for 'Forwarded to Compl-Rep' with fields for 'Received by Compl-Rep', 'Implementation Letter Forwarded to Org', 'Decision Forwarded for Legal', and 'Decision Received from Legal'.</p>
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	In the Final Action No Hearing Region, click the drop-down menu to select the next region, e.g., the Final Action After Hearing Alternate Region.

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Entering a Formal Complaint, Continued

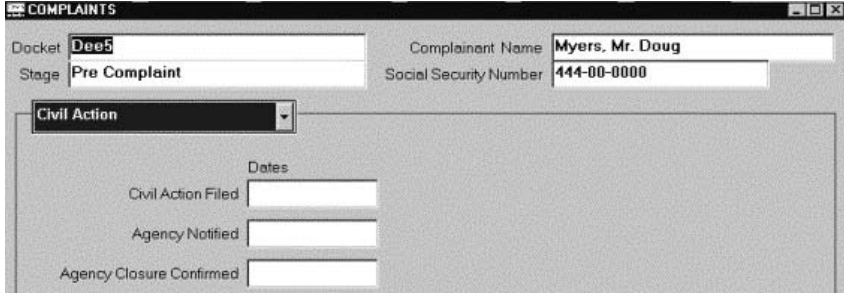
Final Action After Hearing Alternate Region

Step	Action
1	<p>The Complaints Window displays with Final Action After Hearing Alternate Region data fields.</p> 
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	In the Final Action After Hearing Alternate Region, click the drop-down menu to select the next region, e.g., the Civil Action Alternate Region.

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Entering a Formal Complaint, Continued

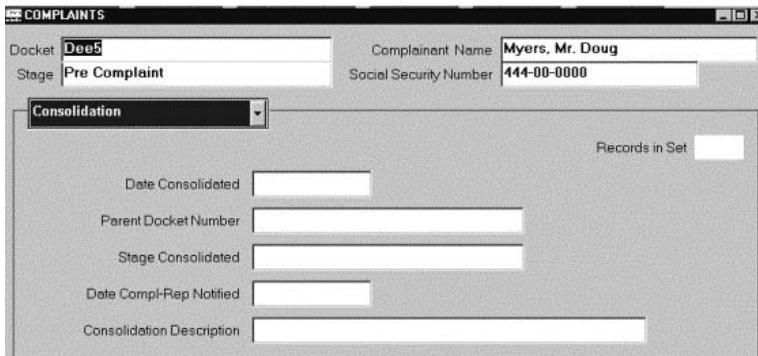
Civil Action Alternate Region

Step	Action
1	<p>The Complaints Window displays the Civil Action Alternate Region data fields.</p> 
2	Enter dates in the data fields using the LOV or typing in the information.
3	In the Civil Action Alternate Region, click the drop-down menu to select the next region, e.g., the Consolidation Alternate Region.

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Entering a Formal Complaint, Continued

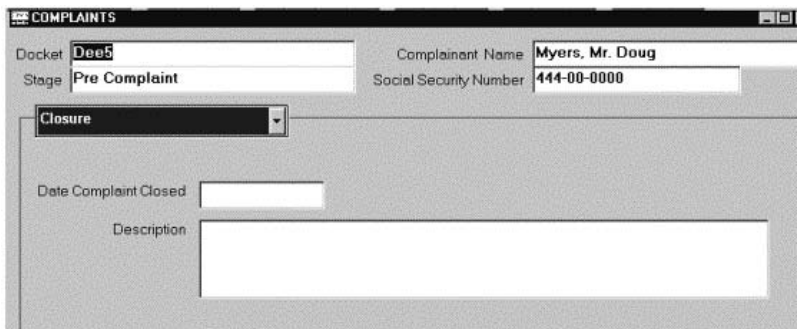
Consolidation Alternate Region

Step	Action
1	<p>The Complaints Window displays the Consolidation Alternate Region data fields.</p>  <p>The screenshot shows a window titled 'COMPLAINTS'. It contains several data entry fields: 'Docket' with the value 'Dee5', 'Complainant Name' with 'Myers, Mr. Doug', 'Stage' with 'Pre Complaint', and 'Social Security Number' with '444-00-0000'. Below these is a 'Consolidation' section with a drop-down menu currently set to 'Consolidation'. To the right of this section is a 'Records in Set' field. Below the drop-down menu are several empty text input fields labeled: 'Date Consolidated', 'Parent Docket Number', 'Stage Consolidated', 'Date Compl-Rep Notified', and 'Consolidation Description'.</p>
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	In the Consolidation Alternate Region, click the drop-down menu to select the next region, e.g., the Closure Alternate Region.

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Entering a Formal Complaint, Continued

Closure
Alternate
Region

Step	Action
1	<p>The Complaints Window displays the Closure Alternate Region data fields.</p> 
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	In the Closure Alternate Region, click the drop-down menu to select the next region, e.g., the Class Action Alternate Region.

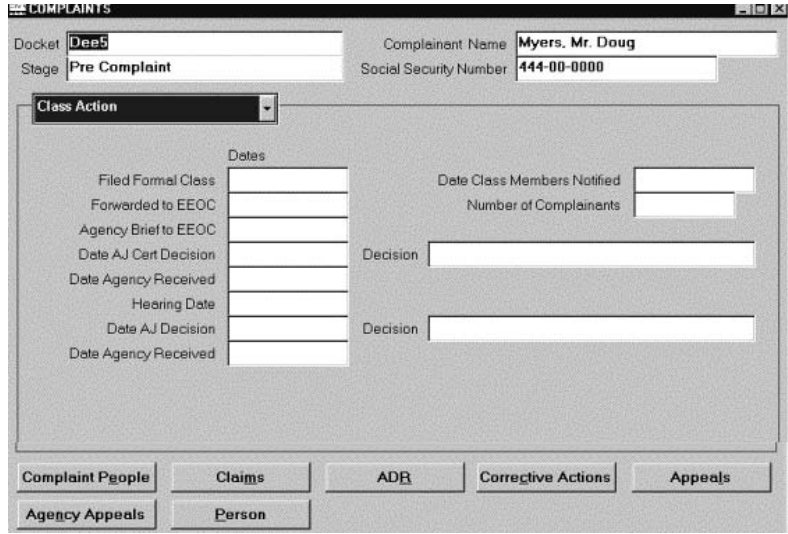
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Entering a Formal Complaint, Continued

Class Action Alternate Region

Class Actions:

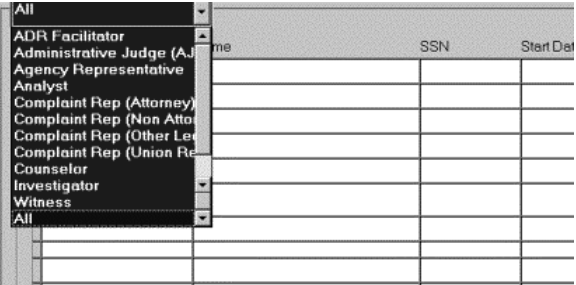
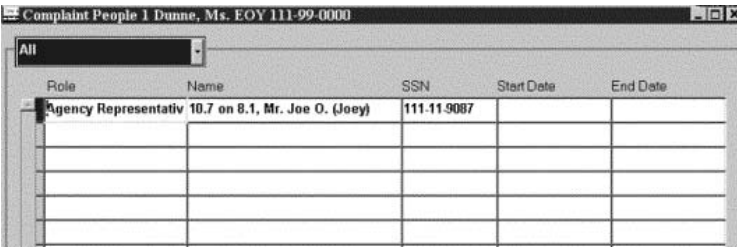
- If a case becomes a class action, check the Class Agent Flag in the Pre-Complaints Area and fill out the class data accordingly.
- If the case is later deemed NOT to be a class action, remove the class Agent Flag (Pre-Complaints Area) but leave the data entered in the class section for history.

Step	Action
1	<p>The Complaints Window displays the Class Action Alternate Region data fields.</p> 
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	Save your work.
4	Click each Taskflow Button as appropriate. After completing each selection, save your work and select the next Taskflow Button as needed.

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Entering a Formal Complaint, Continued

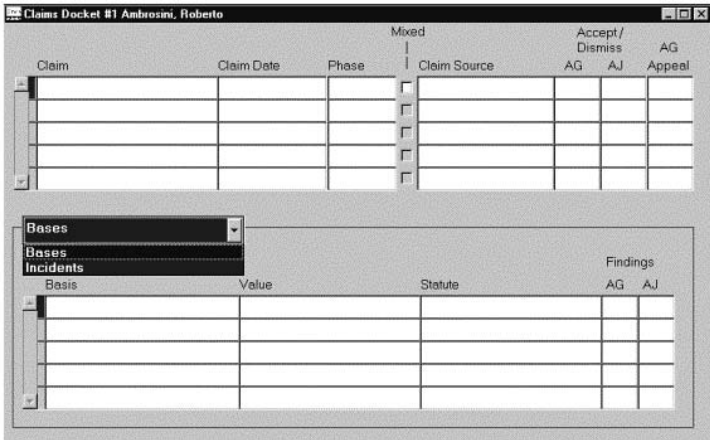
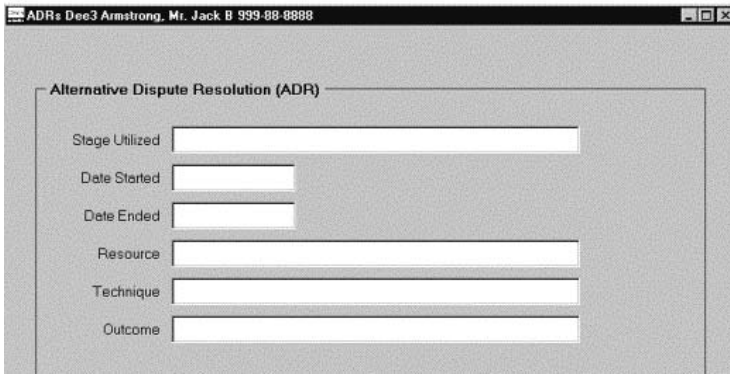
Closure Alternate Region Taskflow Buttons (continued)

Taskflow Button	Description/Action
<i>Complaint People</i>	<p>With the cursor in the Role Column, click the drop-down menu and select a role. Complaint People can have multiple roles.</p>  <p>With the cursor in the Name Column, use the LOV to select the name. Input a Start Date.</p> <p>♦ Example:</p> 

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Entering a Formal Complaint, Continued

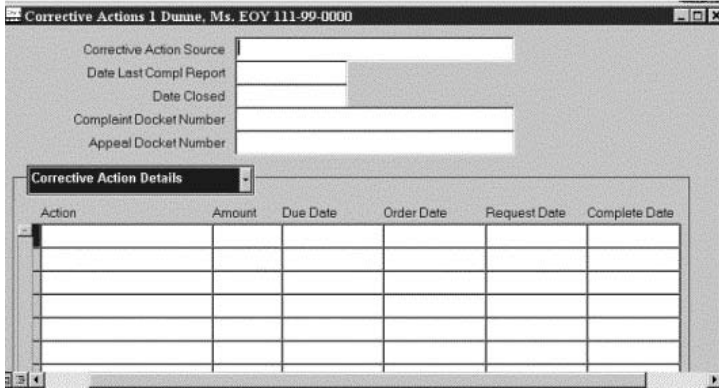
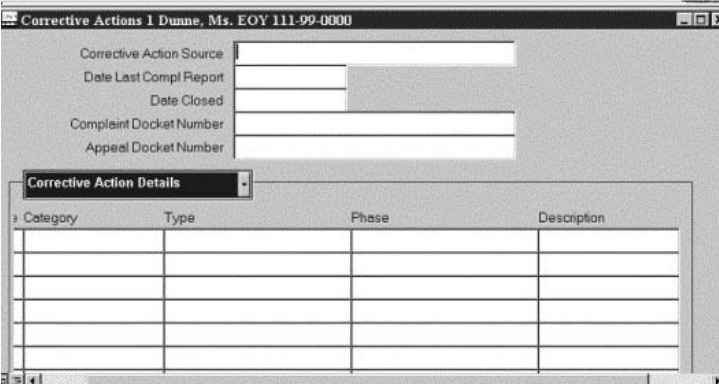
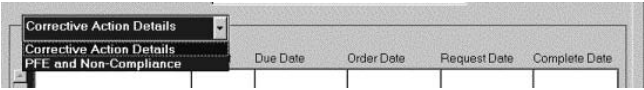
Closure Alternate Region Taskflow Buttons (continued)

Taskflow Button	Description/Action
Claims	<p>See Chapter 3, Initiating a Pre-Complaint, for entering Claims data (<i>Claims</i>, <i>Bases</i>, and <i>Incidents</i>).</p> 
ADR	<p>Use the LOV to enter data in the <i>Stage</i>, <i>Resource</i>, <i>Technique</i>, and <i>Outcome</i> data fields. Enter dates in <i>Date Started</i> and <i>Date Ended</i>.</p> 

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Entering a Formal Complaint, Continued

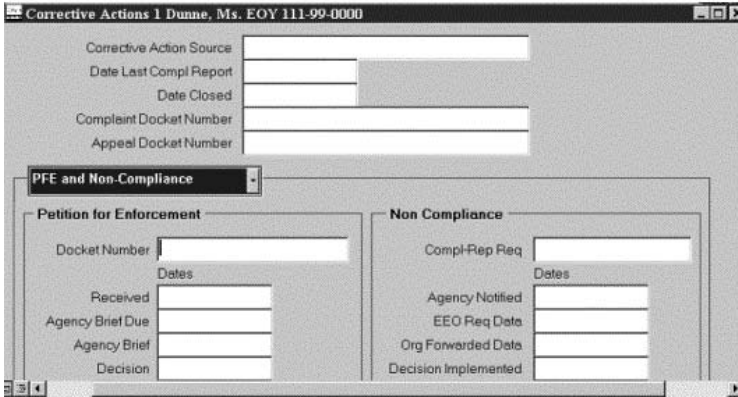
Closure Alternate Region Taskflow Buttons (continued)

Taskflow Button	Description/Action
Corrective Actions	<p>Corrective Actions Details</p>  <p>Scroll to the right to view the remaining column headings.</p>
	<p>Corrective Actions Details by moving the scroll bar to the right.</p>  <p>Click the Corrective Alternate Region drop-down menu and click on PFE and Non Compliance Alternate Region.</p> 

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Entering a Formal Complaint, Continued

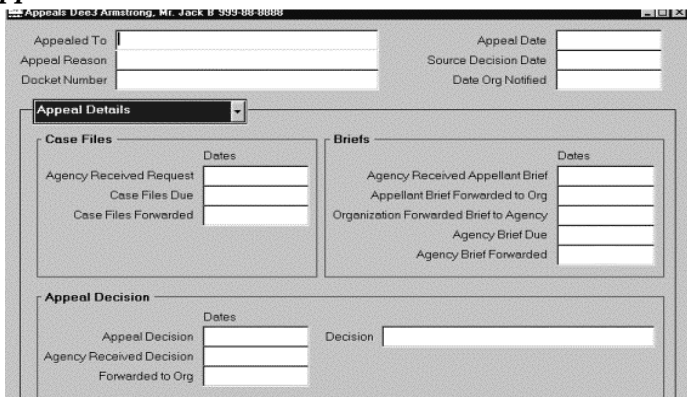
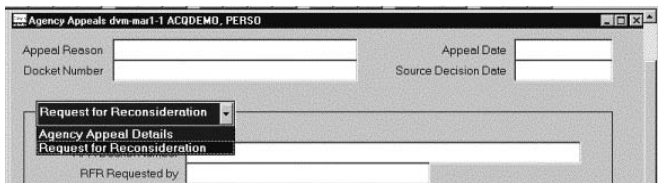
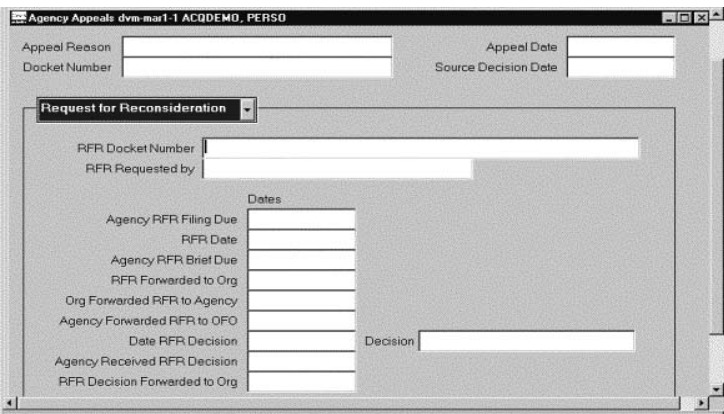
Closure Alternate Region Taskflow Buttons (continued)

Taskflow Button	Description/Action
	<p>The PFE and Non-Compliance Window displays</p> 

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Entering a Formal Complaint, Continued

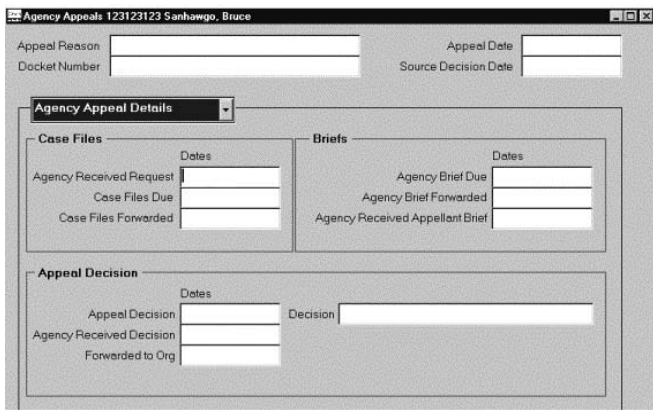
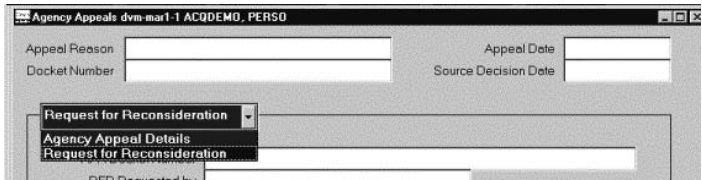
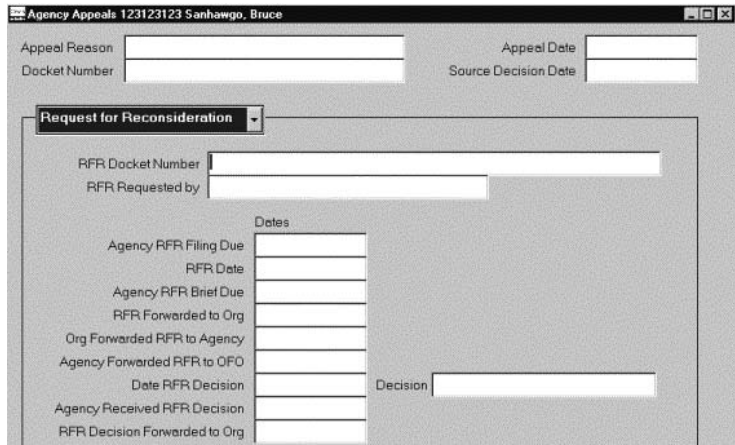
Closure Alternate Region Taskflow Buttons (continued)

Taskflow Button	Description/Action
Appeals	<p>Appeals Details</p> 
	<p>Click the Appeal Details Alternate Region drop-down menu and select Request for Reconsideration.</p> 
	<p>The Request for Reconsideration Window displays</p> 

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Entering a Formal Complaint, Continued

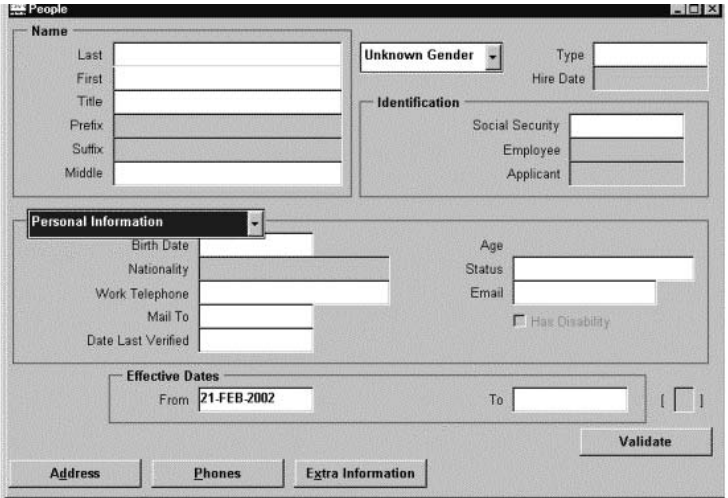
Closure Alternate Region Taskflow Buttons (continued)

Taskflow Button	Description/Action
<i>Agency Appeals</i>	<p><i>Agency Appeals Details</i> data fields</p> 
	<p>Click the drop-down menu and select Request for Reconsideration.</p> 
	<p>The Request for Reconsideration Window displays.</p> 

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Entering a Formal Complaint, Continued

Closure Alternate Region Taskflow Buttons (continued)

Taskflow Button	Description/Action
Person	<p>The People Window displays.</p>  <p>Click on <Address> and <Phones> to update the information.</p> <p>Note: Do not use:</p> <ul style="list-style-type: none"> • <Extra Information> <p>Or</p> <ul style="list-style-type: none"> • <Validate>.
5	After you complete the appropriate Taskflow Buttons, save and exit.

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